

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
( Not for submission under 37 CFR 1.99)

Application Number	10575352
Filing Date	2007-10-14
First Named Inventor	Richard E. Smalley
Art Unit	1736
Examiner Name	Daniel McCracken
Attorney Docket Number	11321-P077WOUS

**U.S.PATENTS**

Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear
	1	5374415		1994-12-20	Alig et al	

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**U.S.PATENT APPLICATION PUBLICATIONS**

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	1	20040040834		2003-03-04	Smalley et al	
	2	20040038251		2003-03-04	Smalley et al	

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	1	2005012172	WO		2005-02-10	Strano et al		<input type="checkbox"/>

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>( Not for submission under 37 CFR 1.99)</i>	Application Number	10575352
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Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T5
	1	Nikolaev et al., "Gas-phase catalytic growth of single-walled carbon nanotubes from carbon monoxide", Chem. Phys. Lett. 1999, 313, 91-97	<input type="checkbox"/>
	2	Dresselhaus et al, "Science of Fullerenes and Carbon Nanotubes", Academic Press, San Diego, 1996	<input type="checkbox"/>
	3	Bronikowski et al., "Gas phase production of carbon single-walled nanotubes from carbon monoxide via the HiPco process: A parametric study", Journal of Vacuum Science & Technology 2001, 19, 1800-1805	<input type="checkbox"/>
	4	R. Saito et al, "Physical properties of carbon nanotubes", Imperial College Press, London, 1998	<input type="checkbox"/>
	5	Strano et al., "Assignment of (n, m) raman and optical features of metallic single-walled carbon nanotubes" , Nano Letters, 2003, 3, 8, 1091-1096	<input type="checkbox"/>
	6	O'Connell et al., "Band gap fluorescence from individual single-walled carbon nanotubes", Science, 2002, 297, 593-596	<input type="checkbox"/>
	7	Bachilo et al., "Structure-assigned optical spectra of single-walled carbon nanotubes", Science, 2002, 298, 2361-2366	<input type="checkbox"/>
	8	Strano et al, "The role of surfactant adsorption during ultrasonication in the dispersion of single-walled carbon nanotubes", J. Nanosci. Nanotech, 2003, 3, 81-86	<input type="checkbox"/>
	9	Thess et al., "Crystalline ropes of metallic carbon nanotubes", Science, 1996, 273, 483-487	<input type="checkbox"/>
	10	Liu et al., "Fullerene Pipes", Science, 1998, 280, 1253-1256	<input type="checkbox"/>

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11	Chen et al., "Solution properties of single-walled carbon nanotubes", Science, 1998, 282, 95-98	<input type="checkbox"/>
12	Khabashesku et al., "Fluorination of single-wall carbon nanotubes and subsequent derivatization reactions", Acc. Chem. Res., 2002, 35, 1087-1095	<input type="checkbox"/>
13	Holzinger et al., "Sidewall functionalization of carbon nanotubes", Angew. Chem. Int. Ed., 2001, 40, 4002-4005	<input type="checkbox"/>
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15	Bahr et al., "Functionalization of carbon nanotubes by electrochemical reduction of aryl diazonium salts: a bucky paper electrode", J. Am. Chem. Soc., 2001, 123, 6536-6542	<input type="checkbox"/>
16	Kamaras et al., "Covalent bond formation to a carbon nanotube metal", Science, 2003, 301, 1501	<input type="checkbox"/>
17	S. Niyogi et al., "chemistry of single-walled carbon nanotubes", Acc. of Chem. Res., 2002, 35, 1105-1113	<input type="checkbox"/>
18	D. Chattopadhyay et al., "A route for bulk separation of semiconducting from metallic single-wall carbon nanotubes", J. Am. Chem. Soc., 2003, 125, 3370-3375	<input type="checkbox"/>
19	M. Zheng et al., "Structure-based carbon nanotube sorting by sequence-dependent DNA assembly", Science, 2003, 302, 1545-1548	<input type="checkbox"/>
20	Weisman, "Carbon nanotubes: Four degrees of separation", Nat. Mater., 2003, 2, 569-570	<input type="checkbox"/>
21	L. An et al., "A simple chemical route to selectively eliminate metallic carbon nanotubes in nanotube network devices", J. Am. Chem. Soc., 2004, 126(34), 10520-10521	<input type="checkbox"/>

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	22	Chiang et al., "Purification and characterization of single-wall carbon nanotubes", J. Phys. Chem. B 2001, 105, 1157-1161	<input type="checkbox"/>
	23	Chiang et al., "Purification and characterization of single-wall carbon nanotubes (SWNTs) obtained from the gas-phase decomposition of CO (HiPco Process)", J. Phys. Chem. B 2001, 105, 8297-8301	<input type="checkbox"/>
	24	O'Connell et al., "Reversible water-solubilization of single-walled carbon nanotubes by polymer wrapping", Chem. Phys. Lett., 2001, 342, 265-271	<input type="checkbox"/>
	25	Gu et al., "Cutting single-wall carbon nanotubes through fluorination", Nano Lett., 2002, 2, 1009-1013	<input type="checkbox"/>
	26	Ramesh et al., "Dissolution of pristine single-walled carbon nanotubes in superacids by direct protonation", J. Phys. Chem. B, 2004, 108, 8794-8798	<input type="checkbox"/>
	27	Kelly et al., "Insight into the mechanism of sidewall functionalization of single-walled nanotubes: an STM study", Chem. Phys. Lett., 1999, 313, 445-450	<input type="checkbox"/>
	28	Banerjee et al., "rational sidewall functionalization and purification of single-walled carbon nanotubes by solution-phase ozonolysis", J. Phys. Chem. B, 2002, 106, 12144-12151	<input type="checkbox"/>
	29	Zheng et al., "DNA-assisted dispersion and separation of carbon nanotubes", Nature Mater., 2003, 2, 338-342	<input type="checkbox"/>
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	33	Hafner et al., "Catalytic growth of single-wall carbon nanotubes from metal particles", Chem. Phys. Lett., 1998, 296, 195-202	<input type="checkbox"/>
	34	Dyke et al., "Unbundled and highly functionalized carbon nanotubes from aqueous reactions", Nano Letters, 2003, 3, 1215-1218	<input type="checkbox"/>
	35	Strano et al, "Reversible, band-gap-selective protonation of single-walled carbon nanotubes in solution", J. Phys. Chem B, 2003, 107, 6979-6985	<input type="checkbox"/>
	36	Saini et al, "Covalent sidewall functionalization of single wall carbon nanotubes", J. Am. Chem. Soc., 2003, 125, 3617-3621	<input type="checkbox"/>
	37	Ramesh et al, "Identification of large fullerenes formed during the growth of single-walled carbon nanotubes in the HiPco process", J. Phys. Chem. B, 2003, 107, 1360-1365	<input type="checkbox"/>

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